

FORM PTO-1390 MODIFIED	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY'S DOCKET NUMBER 4662-135
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 10/565,773
INTERNATIONAL APPLICATION NO. PCT/EP2004/007059	INTERNATIONAL FILING DATE 28 June 2004	PRIORITY DATE CLAIMED 25 July 2003
TITLE OF INVENTION PROCESS FOR THE CARBONYLATION OF CONJUGATED DIENES USING A PALLADIUM CATALYST SYSTEM		
APPLICANT(S) FOR DO/EO/US SIELCKEN et al		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: <ol style="list-style-type: none"> <input type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. <input type="checkbox"/> The U.S. has been elected (Article 31). A copy of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> <input type="checkbox"/> WO 2005/014520 is attached hereto (pages specification, claims & abstract (claims), sheets drawings). <input type="checkbox"/> has been communicated by the International Bureau. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <input type="checkbox"/> is attached hereto (pages specification, claims & abstract (claims), sheets drawings, page Certificate of Translation). <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). <input type="checkbox"/> have been communicated by the International Bureau. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. <input type="checkbox"/> have not been made and will not be made. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). <ol style="list-style-type: none"> <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). <input type="checkbox"/> Declaration was submitted to the International Bureau during International Phase (see copies of Declaration (page Form PCT/RO/101 and Form PCT/IB/371 and first page of printed publication acknowledging receipt thereof attached). <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). <p>Items 11 To 20 below concern document(s) or information included:</p> <ol style="list-style-type: none"> <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. <ol style="list-style-type: none"> <input type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. <input type="checkbox"/> An Application Data Sheet under 37 C.F.R. § 1.76. <input type="checkbox"/> A substitute specification. <input type="checkbox"/> A change of power of attorney and/or address letter. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). <input checked="" type="checkbox"/> Other items or information. MISSING PARTS TRANSMITTAL COVER; AND COPY OF NOTIFICATION OF MISSING REQUIREMENTS 		

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 10/565,773			INTERNATIONAL APPLICATION NO. PCT/EP2004/007059			ATTORNEY'S DOCKET NUMBER 4662-135		
<input checked="" type="checkbox"/> The following fees are submitted:								
BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):								
21.	<input type="checkbox"/>	Basic national fee\$300.00 (1631)/\$150.00 (2631)					\$	
22.	<input type="checkbox"/>	Examination Fee..... \$0 (1643/2643)\$200.00 (1633)/\$100.00 (2633)					\$	
23.	<input type="checkbox"/>	Search Fee\$0 (1640/2640)\$100 (1641)/\$50 (2641)\$400 (1642)/\$200 (2642)\$500.00 (1632)/\$250.00 (2632)					\$	
TOTAL OF ABOVE CALCULATIONS							\$	0.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.								
Total Sheets		Extra Sheets		Number of each additional 50 or fraction thereof (round up to a whole number)		RATE		
0 -100		0 /50 =		0.00		\$0.00 (1681) \$0.00 (2681)		
Surcharge of \$130.00 (1617)/\$65.00 (2617) for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).							\$	
CLAIMS		NUMBER FILED		# EXTRA		RATE		
Total Claims		20		minus 20 =		0 X		\$50.00 (1615)/ \$25.00 (2615)
Independent Claims		1		minus 3 =		0 X		\$200.00 (1614) \$100.00 (2614)
MULTIPLE DEPENDENT CLAIMS(S) (if applicable)				\$360.00 (1616)/\$180.00 (2616)				\$ 0.00
Petition is hereby made to extend the current due date so as to cover the filing date of this paper and attachment(s): One Month Extension \$120.00 (1251)/\$60.00 (2251); Two Month Extensions \$450.00 (1252)/\$225.00 (2252); Three Month Extensions \$1020.00 (1253)/\$510.00 (2253); Four Month Extensions \$1590.00 (1254)/\$795.00 (2254)							\$	450.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.								
Processing fee of \$130.00 (1618), for furnishing the English Translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)).							+	0.00
TOTAL NATIONAL FEE =							\$	450.00
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 (8021) per property							+	\$ 40.00
Fee for Petition to Revive Unintentionally Abandoned Application;\$1500.00 (1453) / \$750.00 (2453)							\$	0.00
TOTAL FEES ENCLOSED =							\$	490.00
							Amount to be refunded:	\$
							Amount to be Charged:	\$

08/22/2006 GFREY1 00000100 10565773
 01 FC:1252 450.00 OP

a. ☒ A check in the amount of \$490.00 to cover the above fees is enclosed.
 b. ☐ Please charge my Deposit Account No. 14-1140 in the amount of \$_____ to cover the above fees.

A duplicate copy of this form is enclosed.

- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1140. A duplicate copy of this form is enclosed.
- d. ☐ **CREDIT CARD PAYMENT FORM ATTACHED.**
- e. ☐ The entire content of International Application No. **PCT/EP2004/007059** and any U.S. and foreign application(s) corresponding thereto, and , referred to in this application is/are hereby incorporated by reference in this application.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b) must be filed and granted to restore the application to pending status.

CORRESPONDENCE ADDRESS

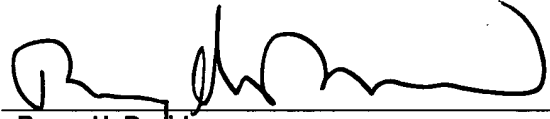
Direct all correspondence to:

☒ **Customer Number:**

23117

Type Customer Number here

Telephone: (703) 816-4000
BHD:bcf


Bryan H. Davidson
NAME

30,251

August 17, 2006

REGISTRATION NUMBER

Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

SIELCKEN et al

Serial No. 10/565,773

Filed: August 17, 2006

For: PROCESS FOR THE CARBONYLATION OF CONJUGATED DIENES USING A PALLADIUM CATALYST SYSTEM

Attention: Application Branch

Atty. Dkt. 4662-135

Date: August 17, 2006

Mail Stop Missing Parts

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

The attached completes filing of the above-identified patent application:

☐ **Correspondence Address Indication Form Attached.**

☒ Signed Rule 63 Declaration alone, ☐ Copy of Declaration from prior application alone, OR

☐ Signed Declaration plus attached copy of originally filed specification/drawings.

☒ **NOTICE TO FILE MISSING PARTS OF APPLICATION FILING DATE GRANTED form.**

☒ Record the attached assignment to DSM IP Assets B.V., TE HEERLEN, The Netherlands and return to the undersigned.

☐ Attached is a Power of Attorney.

☐ Priority is hereby claimed under 35 U.S.C. § 119 based on the following foreign applications:

Application Number	Country	Day/Month/Year Filed
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PCT/EP2004/007059

28 June 2004

respectively.

☐ Certified copy(ies) of foreign application(s) is/are attached.

☐ Certified copy(ies) filed on _____ in prior application no. _____, filed _____.

☐ Applicant claims "small entity" status. ☐ "Small entity" statement attached.

☐ Please enter the attached preliminary amendment prior to calculation of filing fee.

☐ Also attached: ☐ **Information Disclosure Statement;** ☐ **Nucleotide and/or Amino Acid Sequence Submission;** ☐ **Other:**

Fees due are calculated below:

Basic filing fee	\$300.00 (1011)/\$150.00 (2011)	\$
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Search Fee	\$500.00 (1111)/\$250.00 (2111)	\$
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Examination Fee	\$200.00 (1311)/\$100.00 (2311)	\$
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Application Size Fee for each add'l 50 sheets that exceeds 100 sheets)

Total pages: 0-100 =	0.00	0	\$0.00(1081)/	\$0.00 (2081)	\$
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Total effective claims	0	- 20 (at least 20) =	0	x \$50.00 = \$0.00 (1202)/\$0.00 (2202)	\$
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Independent claims	0	- 3 (at least 3) =	0	x \$200.00 = \$0.00 (1201)/\$0.00 (2201)	\$
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If any proper multiple dependent claims now added for first time (ignore improper), add

\$360.00 (1203)/\$180.00 (2203)	\$
---------------------------------	----

Petition is hereby made to extend the current due date so as to cover the filing date of this paper and attachment(s)

One Month Extension \$120.00 (1251)/\$60.00 (2251)

Two Month Extensions \$450.00 (1252)/\$225.00 (2252)

Three Month Extensions \$1020.00 (1253)/\$510.00 (2253)

Four Month Extensions \$1590.00 (1254)/\$795.00 (2254)

Five Month Extensions \$2160.00 (1255)/\$1080.00 (2255)	\$	450.00
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Surcharge if Declaration or filing fee first now submitted:	\$130.00 (1051)/\$65.00 (2051)	\$
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English translation of specification and claims	\$130.00 (1053)	\$
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Assignment Recording Fee	\$40.00 (8021)	\$	40.00
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TOTAL FEE DUE	\$	490.00
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☐ **CREDIT CARD PAYMENT FORM ATTACHED.**

Any future submission requiring an extension of time is hereby stated to include a petition for such time extension. The Commissioner is hereby authorized to charge any deficiency, or credit any overpayment, in the fee(s) filed, or asserted to be filed, or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our **Account No. 14-1140**. A duplicate copy of this sheet is attached.

901 North Glebe Road, 11th Floor

Arlington, Virginia 22203-1808

Telephone: (703) 816-4000

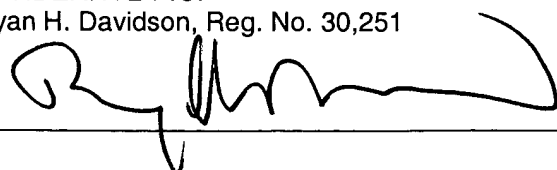
Facsimile: (703) 816-4100

BHD:bcb

NIXON & VANDERHYE P.C.

By Atty: Bryan H. Davidson, Reg. No. 30,251

Signature: _____



BMD
4042-135

UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/565,773	Otto Erik Sielcken	4662135

INTERNATIONAL APPLICATION NO.
PCT/EP04/07059

I.A. FILING DATE	PRIORITY DATE
06/28/2004	07/25/2003

23117

NIXON & VANDERHYE, PC
 901 NORTH GLEBE ROAD, 11TH FLOOR
 ARLINGTON, VA 22203

DOCKETED

MATTER # 4042-135FILING DATE 5/5/2006DUPLICATE DATE JUL 5, 2006FINAL DEADLINE Dec 5, 2006

Date Mailed: 05/05/2006

DOCKETED BY BAT

CONFIRMATION NO. 3000

371 FORMALITIES LETTER



OC000000018687845

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 01/25/2006
- Copy of the International Search Report filed on 01/25/2006
- Preliminary Amendments filed on 01/25/2006
- Information Disclosure Statements filed on 01/25/2006
- Request for Immediate Examination filed on 01/25/2006
- Copy of references cited in ISR filed on 01/25/2006
- U.S. Basic National Fees filed on 01/25/2006
- Priority Documents filed on 01/25/2006
- Specification filed on 01/25/2006
- Claims filed on 01/25/2006
- Abstracts filed on 01/25/2006
- Drawings filed on 01/25/2006

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c) Applicant must provide an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment specifically directing its entry into the application and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If the effective filing date

is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).

- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is cautioned that correction of the above items may cause the specification and drawings page count to exceed 100 pages. If the specification and drawings exceed 100 pages, applicant will need to submit the required application size fee.

For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (571) 272-0951
- For Patentin Software Program Help, call Patent EBC at 1-866-217-9197 or directly at 703-305-3028 / 703-308-6845 between the hours of 6 a.m. and 12 midnight, Monday through Friday, EST.
- Send e-mail correspondence for Patentin Software Program Help @ ebc@uspto.gov

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

BARBARA A CAMPBELL

Telephone: (703) 308-9140 EXT 217

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/565,773	PCT/EP04/07059	4662135